Subject: REQUEST FOR PERSONNEL ACTION (RPA)

REFERENCES	SECTIONS
Hiring Process Manual http://www.documents.dgs.ca.gov/ohr/pom/Hiring Process Manual1.pdf	Page 9
Human Resources Memorandum http://www.ohr.dgs.ca.gov/HRMemos/default.htm	03-013, 02-027, 02-007, 00-006
Responsible Control Agency and Program	DGS Office of Human Resources Classification and Pay Unit, DGS Office of Human Resources Personnel Transactions Unit (PTU)
Other	
RPA Workflow Manual Employment Eligibility Verification Request and Worksheet	http://documents.dgs.ca.gov/hr/UserGuides/RPA.doc http://www.documents.dgs.ca.gov/ohr/pom/employmenteligibilityverificationrequest-worksheet.doc

110.0

Request for Personnel Action (RPA)

Purpose

This section of the manual defines and distinguishes between:
- Routine requests for personnel action (RPA)
- Proposed RPA's requiring elevation
- Proposed conceptual personnel actions
- How to fill vacant positions

Routine RPAs

Routine RPA's are those requests for personnel actions which typically do not require preliminary discussions with the Office of Human Resources (OHR), such as a simple backfill of a position (with no change in duties or reporting relationship).

Proposed RPAs requiring elevation

Proposed RPAs requiring elevation are those requests initially denied by OHR due to lack of information and/or justification, and the office/division wishes to elevate the level of review.

Conceptual personnel actions

Conceptual personnel actions are those actions which the office/division wishes to advance prior to submitting an RPA package. These actions typically involve major changes in the organization or the use of controversial or new classifications.

How to fill vacant positions

Due to continued budget restrictions, salary savings requirements, and the need to live within our budget and better align our resources with workload, the procedures in this section shall be followed.

Topics

The table below identifies the topics covered in this section.

110.1

Routine RPA Process

Policy	It is the policy of the DGS Office of Human Resources (OHR) Classification and Pay (C&P) Unit that an RPA package is **required** for all personnel actions except modification to work schedules (unless the classification is subject to post and bid), range changes, out-of-class assignments, or separations.

Access to RPA Workflow	Everyone has access to the AutoRPA as long as you have the following: • An Outlook account • A DGS position number assigned to your ABMS record • Access to the DGS Intranet The following link opens the AutoRPA http://smf00rpa001/apps/rpa/

Before creating an RPA	Due to continued budget reductions, personnel realignments and salary savings issues, the Deputy Director of the Management Services Division (MSD) **shall** review requests to start the hiring process except for the following: • Shift changes and changes in work hours – employees are already on board; therefore, it is just an adjustment to his/her shift/work hours • Unit changes – when OHR is aligning units with the budget Submit your requests via e-mail to the Deputy Director of the MSD with a copy to the Chief, Office of Fiscal Services (OFS), the Chief, Office of Human Resources (OHR), and your C&P Analyst. The e-mail **shall** include: • If an RPA is in "created" status awaiting MSD approval, include RPA number • Position number • Classification title • Date position became vacant • If applicable, post and bid information • Justification for filling the position • Impact on your salary savings requirement

Continued on next page

110.2

Routine RPA Process, Continued

Following selection and prior to job offer

Due to continued budget reductions, personnel realignments and salary savings issues, the Deputy Director of the Management Services Division (MSD) **shall** review and approve the selected applicant **prior** to any job offer except for the following:

- If the hire is from other than a post and bid list, it **shall** be reviewed and approved as described above

Components of a complete RPA package

Components of a complete RPA package include:
- ✓ Request for Personnel Action (RPA GS-904T) for Client agencies
- ✓ Auto RPA form (for DGS)
- ✓ Justification for action
- ✓ Current duty statement in essential functions format and former duty statement, when applicable
- ✓ Draft job opportunity bulletin (JOB)
- ✓ Current and proposed organization charts, when applicable
- ✓ Training and Development (T&D) assignment plan (GS 1089T), when applicable
- ✓ Post and Bid form, when applicable
- ✓ Application screening criteria (usually created from the "desirable qualifications" section of the duty statement/JOB **or at a minimum** submitted to the C&P Analyst for review prior to the final file date)
- ✓ Approval to recruit email from MSD Deputy Director

For a detailed discussion of each component of an RPA package, refer to the following:
The RPA Workflow manual is located at
http://documents.dgs.ca.gov/hr/UserGuides/RPA.doc.
The Essential Functions Duty Statement Training manual is located at
http://documents.dgs.ca.gov/HR/UserGuides/RevisedEssentialFunctionsTrng.doc or the sections in this manual on Essential Functions and Duty Statements.
How to construct a JOB is located at
http://www.documents.dgs.ca.gov/ohr/pom/JOB.pdf.
The construction and content of organization charts is located at
http://www.documents.dgs.ca.gov/ohr/pom/Organization Charts.pdf. A sample organization chart can be found in the Resources section of this manual.

110.3

Routine RPA Process, Continued

Components of a complete RPA package (continued)	The RPA Flow Chart Hiring Process Manual http://www.documents.dgs.ca.gov/ohr/pom/Hiring Process Manual1.pdf

Office/division responsibility	The Office/Division submits a completed RPA package to the C&P Analyst. Refer to the above "block" on the Components of a Complete RPA Package. **Note:** If the package is not complete (missing or incomplete documents), the C&P Analyst will return it to the originator for completion. **Note:** An RPA for a CEA position shall not be processed without a copy of the Director's approval to administer.

C&P unit review	The C&P Analyst will review the package for completeness. If the C&P Analyst requires additional information, further discussion may be necessary. If the information is complete, and the C&P Analyst can approve the action, the "Routine Automated RPA Process" begins.

110.4

Proposed RPAs Requiring Elevation

Overview of process

The following defines the expectations and stages involved in the review of a non-routine RPA, which may need to be elevated during its review. Non-routine personnel actions may be initially submitted as "routine" RPAs, and due to changes in the position or its duties, require additional review and analysis.

Office/division responsibility

If the Personnel Liaison (PL) anticipates that the requested personnel action may be elevated due to the nature of the request, s/he should contact the C&P Analyst to explore the feasibility of the proposed staffing changes prior to submitting a complete RPA package, or at the very least the package should include a detailed justification statement.

Justification statement

The RPA package **shall** include a comprehensive justification statement, presenting a complete description of what has changed to necessitate the action. The C&P Analyst analyzes the program's justification statement in terms of SPB/DPA laws and rules, legislative mandates, comparable comparisons, and best practices for personnel management.

Allocation review

The C&P Analyst will review the proposed duty statement, organization chart, and justification statement using standard allocation factors for the classification requested in the RPA.

Note: The requested action will not be approved if the C&P Analyst determines that the justification does not support the position change. The C&P Analyst will work with the program to explore other options before a final decision is made.

Sufficient justification

If C&P accepts the package, the Automated RPA Process begins (refer to the RPA Flow Chart).
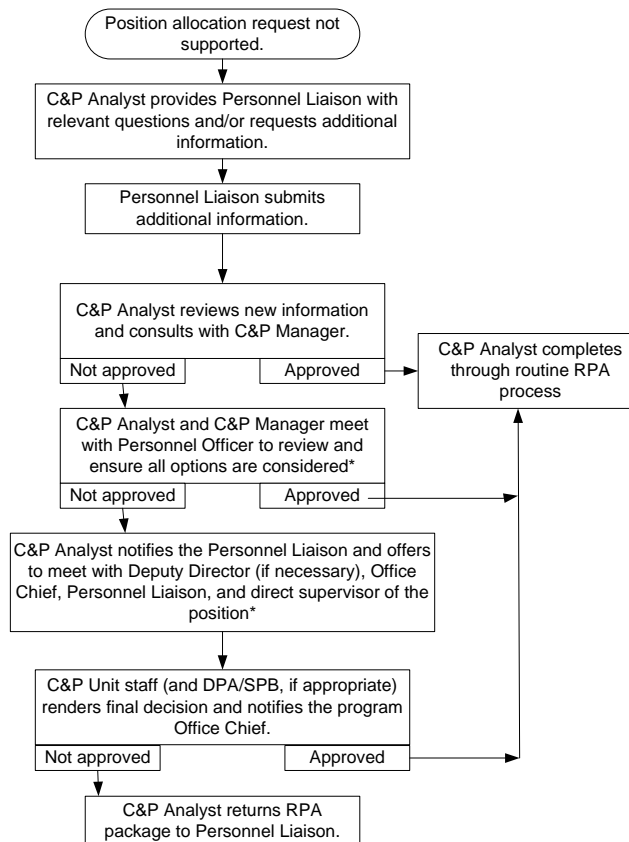
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110.5

Proposed RPAs Requiring Elevation, Continued

Insufficient justification   The following diagram outlines the steps OHR and the program shall use to submit and review additional information when a justification statement does not support the personnel action.

```
            ┌─────────────────────────────────┐
            │  Position allocation request not │
            │           supported.            │
            └─────────────────────────────────┘
                            │
            ┌─────────────────────────────────┐
            │ C&P Analyst provides Personnel   │
            │ Liaison with relevant questions  │
            │ and/or requests additional       │
            │ information.                     │
            └─────────────────────────────────┘
                            │
            ┌─────────────────────────────────┐
            │ Personnel Liaison submits        │
            │ additional information.          │
            └─────────────────────────────────┘
                            │
            ┌─────────────────────────────────┐
            │ C&P Analyst reviews new          │      ┌──────────────────────┐
            │ information and consults with    │      │ C&P Analyst completes │
            │ C&P Manager.                     │─────▶│ through routine RPA   │
            ├──────────────┬──────────────────┤      │ process               │
            │ Not approved │ Approved          │      └──────────────────────┘
            └──────────────┴──────────────────┘
                            │
            ┌─────────────────────────────────┐
            │ C&P Analyst and C&P Manager meet │
            │ with Personnel Officer to review │
            │ and ensure all options are       │
            │ considered*                      │
            ├──────────────┬──────────────────┤
            │ Not approved │ Approved          │
            └──────────────┴──────────────────┘
                            │
            ┌─────────────────────────────────┐
            │ C&P Analyst notifies the         │
            │ Personnel Liaison and offers to  │
            │ meet with Deputy Director (if    │
            │ necessary), Office Chief,        │
            │ Personnel Liaison, and direct    │
            │ supervisor of the position*      │
            └─────────────────────────────────┘
                            │
            ┌─────────────────────────────────┐
            │ C&P Unit staff (and DPA/SPB, if  │
            │ appropriate) renders final       │
            │ decision and notifies the        │
            │ program Office Chief.            │
            ├──────────────┬──────────────────┤
            │ Not approved │ Approved          │
            └──────────────┴──────────────────┘
                            │
            ┌─────────────────────────────────┐
            │ C&P Analyst returns RPA          │
            │ package to Personnel Liaison.    │
            └─────────────────────────────────┘
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*When appropriate, the proposal will be reviewed by DPA and/or SPB. They may also be included in meeting with Program.

110.6

Conceptual Personnel Action

Overview of process   The program contacts the C&P analyst/manager to initially explore options and evaluate the feasibility of proposed staffing changes prior to submitting a complete RPA package.

Concept examples   Examples of potential staffing concepts which should be presented to the C&P analyst/manager include:

- Reorganization of units/branches
- Workload shifts (new work or eliminated work) and impact on existing positions/classifications
- Need for new classification(s)
- Different classification(s) exists but not currently used by the program

Concept review stages   The following process illustrates the stages involved in staffing concept review.

Stage	Description
1	Program contacts the C&P analyst/manager to set up meeting to discuss their proposal
2	C&P analyst/manager meets with the program to review the proposal. <table><tr><th>When concept is…</th><th>Then</th></tr><tr><td>Approved</td><td>Program submits RPA package(s) and proceeds with RPA process</td></tr><tr><td>Not approved</td><td>a. C&P analyst/assistant manager requests additional information b. C&P analyst/assistant manager review the concept with the Personnel Manager c. C&P analyst/assistant manager and Personnel Manager may meet with the program to discuss issues and/or additional information</td></tr></table>
3	C&P analyst/assistant manager and Personnel Manager reach final decision and inform the program.
4	C&P analyst/assistant manager documents the decision and sends a summary to file for future reference.

110.7

How to Fill Vacant Positions

Purpose   The purpose of this section is to provide the steps required when filling a vacant position.

Steps   Follow the routine RPA process if approval to hire is granted, the following table depicts to steps to be followed when filling a vacant position.

Step	Action
1	The hiring office completes the RPA and JOB, and submits to C&P Analyst (reminder, attach a copy of the approval to recruit email from MSD Deputy Director Note: For Bargaining Unit (BU) 12 and 13, Post and Bid **shall** be cleared prior to moving to the next step.
2	The C&P Analyst approves the completed RPA; and, the JOB is released/advertised. The C&P Analyst will provide Post and Bid information to the hiring supervisor, if applicable. Hiring supervisor will notify C&P Analyst when Post and Bid is cleared.
3	C&P Analyst will verify if a reemployment, SROA, and/or LEAP list exists for the classification. C&P will contact Personnel Liaison (PL) and hiring supervisor. If a list exists, the Certification Unit will send contacts to the candidate(s).
4	Once the JOB has been released, the hiring office **shall** create application screening criteria (see page 110.12) based on the JOB **and submit to the C&P Analyst for review prior to the final file date**. In addition, applicant selection criteria (see page 110.14) **shall** be created by the hiring office to rate applicants during the interview. Applicant selection criteria are the same for each applicant. Documentation of screening and selection criteria **shall** be retained (two years) to document selected applicant. **Exemptions from hiring SROA applicants must be approved by DPA.**
5	After the final filing date of the JOB, the hiring supervisor and/or PL gather all responses; you **must** contact the Certification Unit (no less than two working days after the final filing date) for responses received pursuant to contact letters being mailed.

110.8

How to Fill Vacant Positions, Continued

Steps
(continued)

Steps table continued

Step	Action
6	The PL contacts the C&P Analyst to verify the eligibility of the applications screened (3-5) for interview and informs the C&P Analyst[1] if any of the applications (all received) indicated SROA, surplus, reemployment, or DROA. If any applications were received indicating one of the above designations and the hiring office screened them out, the PL and C&P Analyst **shall** meet (no longer than 15-30 minutes) to discuss (this is to ensure that the DGS is fair and equitable in its responsibility under the laws and rules of the merit system and to avoid losing delegation)(The PL may use the [Employment Eligibility Verification Request and Worksheet](#) when contacting the C&P Analyst via email.) **Note: On a case-by-case basis, the C&P Analyst may authorize the hiring office to proceed with interviews prior to eligibility verification. HOWEVER, no job offer can be made, including tentative, until the C&P Analyst has verified the top three – five interviewed applicants.**
7	The hiring office: • conducts interviews based on the developed selection criteria (refer to page 110.14 and/or the Hiring Process Manual). • performs reference checks, including a review of the candidate's OPF, if current or former State employee. • makes a selection. Note: No job offer is made at this time.
8	For Bargaining Unit (BU) 15, SROA and surplus **must** be cleared prior to selecting a Post and Bid applicant.

Continued on next page
110.9

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[1] Steps 6 and 9 are flexible, particularly with out-of-town offices. A review of all applicants is only necessary when an SROA, surplus, reemployment, or DROA applicant has been screened out of an interview. Following is a table of factors to consider in determining the direction to take.

If…	Then…
Out of town, send only the front page of the applications selected for interview. Care should be taken in sending SSNs. **Do not send entire application.**	C&P Analyst will verify eligibility and respond to PL.
Out of town, send a list of names via email. Follow-up with a call to the C&P Analyst with the SSN	C&P Analyst will verify eligibility and respond to PL.

How to Fill Vacant Positions, Continued

Steps
(continued)

Steps table continued

Step	Action
9	The PL **shall** send an email to the MSD Deputy Director with a copy to the Chiefs of OFS and OHR, and the C&P Analyst requesting approval to hire the selected applicant. The email (you **should** use the original email approving recruitment to indicate the information requested below) **shall** include: • candidate's name • position number • classification title • RPA number • date position became vacant • if applicable, post and bid information • type of hire selected (SROA, surplus, reemployment, list appointment, transfer, reinstatement, retired annuitant, DROA, etc.) • certification there were no SROA, surplus, reemployment, or DROA candidates that applied to the position **Note**: if relocation may be involved, refer to POM section Relocation Administration for the process/procedure
10	If approval received from Deputy Director of the MSD, with a copy to the C&P Analyst, the hiring office may make an offer to the candidate and follow-up with appropriate hiring documents: • Supervisor and candidate review and sign the essential functions duty statement, Form 700, if applicable, etc. • Proper medicals are obtained (refer to the section in this manual on Mandatory Medical Clearance)
11	When all of the above steps are complete, the hiring office **shall** provide the C&P Analyst and the Personnel Specialist (PS) in the Personnel Transactions Unit (PTU) with an effective date for the hire.

Continued on next page

110.10

How to Fill Vacant Positions, Continued

Eligibility determination chart

After the Program has completed its interview and selection process, the PL must re-contact the C&P Analyst to ascertain the proposed candidate's eligibility. The following chart presents various personnel actions which may be used to appoint a candidate and the required/potential outcome of the request.

If the candidate(s) is…	Then	And then…
A transfer	C&P applies transfer rules and verifies candidate eligibility	• if the applicant is eligible, the analyst approves the request • if the applicant is not eligible, the analyst works with the program to explore other options
On departmental, external, or comparable examination certification list	C&P forwards RPA to Certification Unit	• Certification Unit sends list with eligible candidates to program • Program selects candidate and notifies Certification Unit
Eligible for a T&D	Program submits necessary documents to C&P	C&P determines appointment duration and candidate eligibility for appointment after completer of T&D
Eligible for an out-of-class assignment	Program submits justification to C&P Analyst for review	C&P approves/denies assignment and sends notification to program and impacted employee
Eligible for a TAU	C&P Analyst works with Selection Analyst to verify candidate's minimum qualifications	Selections determines feasibility of the examination being administered prior to end of TAU

Information technology positions

The Office of Technology Resources (OTR) requires that all actions regarding information technology positions funded by another office that report to OTR **shall** obtain OTR approval/input (applicable offices are DSA, OSP, OPSC, and PSB). Only functional changes to positions that are funded by an office and do not report to OTR require OTR approval (applicable offices are OHR, OFA, BOPP, and PD).

110.11

Application Screening

Introduction	The purpose of the application screening is to select qualified applicants for referral to the next step of the selection process, the interview. It is the first opportunity to begin assessing applicants against the established **minimum** (not maximum) **qualifications** (classification specification) including the desirable qualifications for the position (EF duty statement); however, desirable qualifications **shall not** be narrowly used. This screening process may include SROA, surplus, reemployment and DROA applicants. Additional information can be found in the Hiring Process Manual.

Note: The DGS requires that all personnel management decisions are ethical, equitable and defensible and are in accordance with pertinent laws, rules, policies, processes, and procedures. These laws, rules, policies, processes, and procedures were developed and implemented to avoid grievances, complaints, lawsuits, and loss of delegation.

How to develop application screening criteria and screen applications	It is the responsibility of the hiring supervisor to develop the screening criteria **prior** to the final file date. The criteria **shall** be developed using job-related standards based on the EF duty statement, the JOB, and the classification specification. (If you require assistance/guidance in developing screening criteria, the C&P Analyst is available).

The criteria **shall not** be so specific (narrow) to eliminate applicants but broad enough to provide a sufficient number of applicants from which to conduct interviews and then select the best qualified applicant for the position utilizing a comprehensive selection criteria and rating sheet.

The following table describes the steps in the application screening process.

Step	Action
1	The supervisor, using the JOB and classification specification develops 3-5 application screening criteria (click here for examples). At the same time, the supervisor develops the selection criteria and rating guide (click here for examples).

110.12

Application Screening, Continued

How to develop application screening criteria and screen applications (continued)

Step	Action
2	The PL first removes the EEO information from all applications and then sorts applications by: • Making notations on a copy of the application as the original application goes to the OPF. • Reviewing all materials presented by the applicant. Often a resume provides more detail than an application; and may highlight or contradict what is contained in the formal employment application. Highlight or in some way indicate on the application what is missing and the **minimum** requirements (application screening criteria). • Checking for consistency and accuracy. For example, if an applicant lists that s/he has supervised 20 people and reported directly to the president of the company, but earned only $1000 per month, clarification may be needed from the employee. • Being careful not to make unwarranted inferences. For example, a high school diploma is not necessarily evidence of satisfactory business writing skills. Remember, it is almost impossible to make fine distinctions between applicants on the basis of an application/resume alone, since the data on the form is limited and may be subject to distortion.
3	The hiring office (PL) verifies eligibility of applicants selected for interview by (**see page 110.9 regarding cases-by-case situations**): • Providing a list of names by email or on the [Employment Eligibility Verification Request and Worksheet](#) and SSNs (by telephone not email) to the C&P Analyst; and, informs the C&P Analyst if any of the applications (all received) indicated SROA, surplus, reemployment, or DROA. If any applications were received indicating one of the above designations and the hiring office screened them out, the PL and C&P Analyst **shall** meet (no longer than 15-30 minutes) to discuss (this is to ensure that the DGS is fair and equitable in its responsibility under the laws and rules of the merit system and to avoid losing delegation • For out of town, refer to footnote on page 110.9

110.13

Selection Screening

Criteria for selection

Selection screening criteria is (you may also refer to the Hiring Process Manual for more information):

- the development of interview questions needed to elicit the job-related information required to be able to select the best applicant for the job based on the EF duty statement
- completing an interview rating scale for each applicant following the interview
- conducting reference checks on top applicants, based on results of the interview rating scale

Question development

Past behavior is the best predictor of future success.
A great resume, extensive education and experience, and sterling references don't mean much if an employee is unable or unwilling to perform on the job. But how do you learn about a candidate's past behavior?

To get a good glimpse of a candidate's past behavior is by asking behavior-based questions. These questions are designed to have the candidate describe his/her past behavior in circumstances similar to those surrounding the job you are trying to fill.

The questions listed in the Key Questions attachment have been designed using the behavior-based interview techniques and are grouped according to competency. Thirty-one competencies are considered "core competencies." Review these questions to see which ones might work for you. Or, use these as examples to develop your own behavior-based questions. Mix in some of these questions with your technical questions; focus on the skills necessary to perform the job you are trying to fill. Think about the essential functions, duties, challenges, and the environment in which the job exists.

110.14